



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Smith et al

Serial No.: 10/791,497

Group No.:

Filed: March 2, 2004

Examiner:

For: THERMOACOUSTIC DEVICE

**PETITION AND RESPONSE TO NOTICE OF OMITTED  
ITEMS IN A NONPROVISIONAL APPLICATION**

Mail Stop PETITIONS  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice of Omitted Items in a Nonprovisional Application dated May 21, 2004, Applicant hereby contends that the omitted items (Figure 8 and 9) were submitted with the above-referenced application -- in that the above-referenced application is a continuation of U.S. patent application Serial No. 10/410,492 (now U.S. Patent No. 6,725,670), which itself contained the same Figures 8 and 9, along with the same description of Figures 8 and 9. In its REFERENCE TO RELATED APPLICATIONS in the Preliminary Amendment, Applicant included the sentence "The contents of all of which are incorporated in their entirety herein by reference."

Inasmuch as Figures 8 and 9 were included with Serial No. 10/410,492 (the parent application), and described in the text, Figures 8 and 9 should be included with the present application. A copy of these figures are attached.

Figures 8 and 9 added no new matter from the '492 application. A petition fee of \$130 is enclosed herein.

16/09/2004 EAREGAY1 00000106 10791497

01 FC:1460 130.00 0P

Adjustment date: 11/02/2005 SDIRETA1  
06/09/2004 EAREGAY1 00000106 10791497  
01 FC:1460 -130.00 0P  
Repln. Ref: 11/02/2005 SDIRETA1 0012512400  
DAB:071180 Name/Number:10791497  
FC: 9204 \$130.00 CR

Date: June 1, 2004

Respectfully submitted,

By: Douglas L. Wathen

Douglas L. Wathen, Reg. No. 41,369  
Gifford, Krass, Groh, Sprinkle et al  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re application of: Smith et al.

2005 SEP 15 PM 4:11

Serial No. 10/791,497

Art Unit: 3744

US PATENT & TRADEMARK  
OFFICE

Filed: March 2, 2004

Examiner:

For: THERMOACOUSTIC DEVICE

REQUEST FOR REFUND

Mail Stop OFFICE OF FINANCE  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

1. Refund Request

This request for refund is made for a petition fee in the amount of \$130.00.

2. Fees Paid for Which Refund Requested

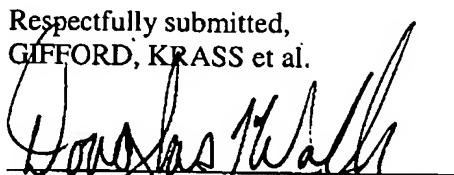
Applicant submitted a continuation patent application on March 2, 2004; subsequently receiving a Notice of Omitted Items in a Nonprovisional Application (dated June 4, 2004). In response to the June 4, 2004 Notice, Applicant filed a petition requesting the original filing date be retained and submitting the omitted items.

Enclosed is a copy of a Decision Dismissing Petition as Moot mailed August 29, 2005. Applicant was instructed by the Petitions Examiner to submit the omitted items in amendment form, stating that under 37 CFR §1.182 a petition was not necessary.

3. Manner of Refund

Please make refund by crediting Deposit Account No. 07-1180.

Respectfully submitted,  
GIFFORD, KRASS et al.

  
Douglas L. Wathen, Reg. No. 41,369  
PO Box 7021  
Troy, Michigan 48007-7021  
Tel: 734-913-9300 Fax: 734-913-6007

Date: Sept. 12, 2005

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AUG 29 2005

OFFICE OF PETITIONS

In re Application of  
Robert W. M. Smith, et al.  
Application No. 10/791,497  
Filed: March 2, 2004  
Attorney Docket No. PST-10703/36

DECISION DISMISSING  
PETITION AS MOOT

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This is a decision on the petition filed June 8, 2004, requesting that the above-identified application retain its filing date of March 2, 2004, with an indication that Figures 8 and 9 were present on filing.

The application was deposited on March 2, 2004. However, the Office of Initial Patent Examination mailed a "Notice of Omitted Items in a Nonprovisional Application" (Notice) on March 3, 2004 stating that the application was deposited without Figures 8 and 9.

In reply to the Notice, applicant filed the instant petition stating that the application is a continuation application of Application No. 10/410,492, and that the specification in the present application incorporated by reference the parent application mentioned above, which parent application includes the missing drawing figures.

The mailing of a "Notice of Omitted Items" permits the applicant to either: (1) promptly establish prior receipt in the PTO of the drawing(s) at issue (generally by way of a date-stamped postcard receipt (MPEP 503)), or (2) promptly submit the omitted drawing(s) in a nonprovisional application and accept the date of such submission as the application filing date. An applicant asserting that the missing drawings were in fact deposited in the PTO with the application papers must file a petition (and the appropriate petition fee) with evidence of such deposit. An applicant desiring to submit the omitted drawings in a nonprovisional application and accept the date of such submission as the application filing date must file any omitted drawing(s) with an oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such drawing(s) and a petition under 37 CFR 1.182 (with the petition fee under 37 CFR 1.17(h)) requesting the later filing date within two months of the date of the "Notice of Omitted Items" (37 CFR 1.181(f)).

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Clearly, Figures 8 and 9 were intended to be a part of the application, but these figures were not present in the application file on March 2, 2004, the date of deposit of the application. Therefore, the application cannot be accorded that date as the filing date with Figures 8 and 9 as part of the original disclosure. Figures 8 and 9 were simply not filed in the USPTO on that date. Accordingly, petitioner cannot retain the March 2, 2004 filing date with an indication that Figures 8 and 9 were present on filing.

MPEP 201.06(c) in pertinent part states:

"If a continuation or divisional application as originally filed is entitled to a filing date despite the omission of a portion of the prior application(s), applicant will be permitted to add the omitted material by way of an amendment provided a statement was included in the application as originally filed that incorporates by reference the prior application(s). If the application as originally filed includes a proper incorporation by reference of the prior application(s), an omitted specification page(s) and/or drawings figure(s) identified in a "Notice of Omitted Item(s)" may be added by amendment provided the omitted item(s) contains only subject matter in common with such prior application(s). In such case, applicant need not respond to the "Notice of Omitted Item(s)." Applicant should submit the amendment adding the omitted material prior to the first Office action to avoid delays in the prosecution of the application. See MPEP § 601.01(d) and § 601.01(g).

In accordance with MPEP 201.06(c), applicant may seek to amend the application to include the omitted drawing figures. However, no petition under 37 CFR 1.182 is necessary for that purpose. The primary examiner without petition may enter new drawings so long as those drawings contain new matter. See MPEP § 608.02(a). However, that is an issue to be raised before the examiner during the course of the examination of this application and as such will not be further considered as a filing date matter.

In view of the above, the petition is **DISMISSED AS MOOT**.

Accordingly, petitioner may request a refund of the \$130 petition fee by writing to the Office of Finance, Refund Section. A copy of this decision should accompany such a request.

This application file is being referred to the Office of Initial Patent Examination for further processing with a filing date of March 2, 2004, including an indication in Office records that Figures 1 – 7 and 10 – 15 were present on filing.

Telephone inquiries concerning this matter may be directed to the undersigned at (571) 272-3223.



Marianne E. Jenkins  
Petitions Examiner  
Office of Petitions

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

2005 SEP 15 PM 4:11

In re application of: Smith et al.

Serial No. 10/791,497

Art Unit: 3744

Filed: March 2, 2004

Examiner:

For: THERMOACOUSTIC DEVICE

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**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

Mail Stop OFFICE OF FINANCE  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that the attached correspondence comprising:

Request for Refund  
Copy of Decision on Petition  
Postcard

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Mail Stop OFFICE OF FINANCE  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

On Sept. 12, 2005.

  
\_\_\_\_\_  
Sheryl L. Hammer